

Express Mail No. EL32B3B0474US

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SUBSTITUTE FORM PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE							ATTY. DOCKET NO. IBM/O2B (R0997-054L)	SERIAL NO. FILED HEREWITH	
									APPLICANT Joseph Phillip Bigus et al.		
									FILING DATE November 2, 1999	GROUP Unknown	
(37 CFR 1.98(b))									U.S. PATENT DOCUMENTS		

EXAMINER INITIAL		PATENT NUMBER						ISSUE DATE	PATENTEE		CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
F.B	A.A	4	B	B	1	2	6	3	11/14/89	Herbison et al.	380	21	9/25/87
	A.B	4	9	1	4	5	8	5	4/3/90	Packard et al.	364	200	5/23/88
	A.C	5	0	7	3	B	9	0	12/17/91	Peter J. Danielsen	370	58.2	12/30/88
	A.D	5	0	9	3	9	1	4	03-03/92	Coplien et al.	395	700	12/15/89
	A.E	5	1	1	7	4	9	6	5/26/92	Stearns et al.	395	700	5/23/BB
	A.F	5	1	5	5	7	6	3	10/13/92	Bigus et al.	379	113	12/11/90
	A.G	5	2	2	6	1	7	6	7/6/93	Westaway et al.	395	800	8/20/90
	A.H	5	2	3	5	6	4	2	B/10/93	Wobber et al.	380	25	7/21/92
	A.I	5	2	4	1	6	2	1	8/31/93	Ronald G. Smart	395	51	6/26/91
	A.J	5	2	7	6	7	6	8	1/4/94	James L. Bander	395	10	3/20/91
F.B	A.K	5	3	0	1	3	2	0	4/5/94	McAtee et al.	395	650	6/28/91

FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS							
		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION (YES/NO)
F.M	A.L	WO9321586	10/2B/93				
	A.M	WO9500907	01/05/95				
	A.N	WO9502217	01/19/95				
	A.O	WO9511560	04/27/95				
	A.P	WO9515635	06/08/95				
F.D	A.O	2061117	02/12/92	Application for Canadian Patent			

OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)							
EXAMINER		DATE CONSIDERED					
F.D	A.R	Gilbert et al., "IBM Intelligent Agents", http://www.networking.ibm.com/ia/iaagwp1.htm1 , (1996).					
	A.S	"Commercial Expert System Shells", http://www.ioe.ac.uk/hgm/expert3.html , (1997).					
	A.T	"Commercial Software Packages for Neural Network Simulation", ftp://ftp.sas.com/pub/neural/FAQ6.html , (1997).					

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		INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANT Joseph Phillip Bigus et al.	
		(Use several sheets if necessary) (37 CFR 1.9B(b))		FILING DATE November 2, 1999	GROUP Unknown

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER						ISSUE DATE	PATENTEE		CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
F.D	B.A	5	3	1	7	6	B	5/31/94	Ralph T. Watson et al.		395	161	2/26/93	
	B.B	5	3	2	5	5	2	6/28/94	Johannes Klein		395	650	4/22/93	
	B.C	5	3	2	9	6	2	7/12/94	Klein et al.		395	375	10/23/90	
	B.D	5	3	5	5	4	4	10/11/94	Chirico		395	51	10/25/93	
	B.E	5	3	6	7	4	5	4	11/22/94	Kawamoto et al.		364	419.20	6/25/93
	B.F	5	3	6	7	6	3	5	11/22/94	Bauer et al.		395	200	8/29/91
	B.G	5	3	7	1	B	B	9	12/6/94	Johannes Klein		395	650	4/22/93
	B.H	5	3	9	2	3	4	5	2/21/95	Mary R. Otto		379	265	4/30/93
	B.I	5	3	9	B	0	1	2	3/14/95	Jeffrey H. Derby et al.		340	B25.03	11/24/92
	B.J	5	4	0	B	4	7	0	4/18/95	Lewis V. Rothrock et al.		370	62	10/14/93
	B.K	5	4	2	1	0	1	3	5/30/95	Curtis A. Smith		395	650	7/8/93

FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION (YES/NO)
F.D	B.L	EP0519109A1	12/23/92	European			Yes
	B.M	EP0589249A2	03/30/94	European			Yes
	B.N	EP0598534A1	05/25/94	European			Yes
	B.O	EP0611210A1	08/17/94	European			Yes
	B.P	JP3195141	1991	Japan			Yes
	B.Q	JP4157944	1992	Japan			Yes

OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

F.D	B.R	A.D. Kwok et al., "A Development System for Intelligent Agent Manufacturing Software", <u>Integrated Manufacturing Systems</u> , 1994, Vol. 5 No. 4/5, pp.64-76.
	B.S	Barbara Hayes-Roth, "An architecture for adaptive intelligent systems", <u>Artificial Intelligence</u> , January 1995, Volume 72, Numbers 1-2, pp. 329-365.
	B.T	Siegfried R. Bocionek, "Agent systems that negotiate and learn", <u>International Journal of Human-Computer Studies</u> , March 1995, Volume 42, No. 3, pp. 265-28B.

EXAMINER		DATE CONSIDERED
F.D		4/10/92

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U.S. PATENT DOCUMENTS

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F.D	C.A	5	4	2	3	0	4	3	6/6/95	Fitzpatrick et al.		395	700	1/21/94
/	C.B	5	4	6	9	5	6	2	11/21/95	Christian D. Saether		395	182.18	6/26/92
	C.C	5	4	6	5	2	8	6	11/7/95	Clare et al.		379	34	5/24/94
	C.D	5	4	6	5	3	0	8	11/7/95	Hutcheson et al.		382	159	8/25/93
	C.E	5	4	6	9	5	6	2	11/21/95	Christian D. Saether		395	182.1B	6/26/92
	C.F	5	4	8	1	6	9	9	1/2/96	Christian D. Saether		395	182.13	3/23/95
	C.G	5	4	8	1	7	1	5	1/2/96	Hamilton et al.		395	700	12/15/93
	C.H	5	6	0	3	0	3	1	2/11/97	White et al.		395	683	7/8/93
	C.I	5	6	4	6	9	9	8	7/8/97	Stambler		380	25	5/22/95
	C.J	5	6	5	5	0	8	1	8/5/97	Bonnell et al.		395	200.32	3/8/95
F-B	C.K	5	6	8	9	6	5	2	11/18/97	Lupien et al.		395	237	4/27/95

FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION (YES/NO)
.	C.L	JP4256101	1992	Japan			No
	C.M	JP5324009	1993	Japan			No
F-B.	C.N	JP6175944	1994	Japan			Yes
	C.O						
	C.P						
	C.Q						

OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

F-B	C.R	Darrell Woelk et al., "Uncovering the next generation of active objects", <u>OBJECT</u> magazine, July/August 1995, pp. 32-40.
/	C.S	Jan Ozer, "Totally Streaming Multimedia", <u>CD-RDM Professional</u> , August 1996, Volume 9 No. B, pp. 54-66.
/	C.T	Barbara Hayes-Roth et al., "A Domain-Specific Software Architecture for Adaptive Intelligent Systems", <u>IEEE Transactions on Software Engineering</u> , April 1995, Vol. 21, No. 4, pp. 288-301.

EXAMINER	DATE CONSIDERED
F-b.	4/10/02

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<u>F.B</u>	D.A	5	6	9	6	8	2	8	12/9/97	Koopman, Jr.		380	46	9/22/95
	D.B	5	7	1	5	3	1	2	2/3/98	Ijtsma		380	3	4/1/96
	D.C	5	7	1	7	9	8	9	2/10/98	Tozzoli et al.		705	37	10/13/94
	D.D	5	7	2	9	4	7	2	3/17/98	Seiffert et al.		364	550	5/17/96
	D.E	5	7	6	1	6	6	3	6/2/98	Lagarde et al.		707	10	5/15/97
	D.F	5	7	6	5	0	2	8	6/9/98	Gladden		395	11	5/7/96
	D.G	5	7	9	0	7	8	9	8/4/98	Suarez		395	200.32	8/2/96
	D.H													
	D.I													
	D.J													
	D.K													

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	D.L						
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	D.P						
	D.Q						

OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

<u>F.B</u>	D.R	Glenn R. Stearns, "Agents and the HP NewWave Application Program Interface", <u>Hewlett-Packard Journal</u> , August 1989, pp. 32-37.
	D.S	T.J. Grant, "A review of Multi-Agent Systems techniques, with application to Columbus User Support Organisation", <u>Future Generation Computer Systems</u> , May 1992, Volume 7, Number 4, pp. 413-437.
	D.T	Mufit Ozden, "Intelligent Objects in Simulation", <u>ORSA Journal on Computing</u> , Fall 1994, Vol. 6, No. 4, pp. 329-341.

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<u>F.B</u>	<u>4/10/02</u>

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	E.Q						

OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

F.B	E.R	Peter Gibbons et al., "Intelligent Agents in Multi-Media Systems", <u>Sharp Technical Journal</u> , December 1994, Volume 60, pp. 11-14.
	E.S	Cristiano Castelfranchi, "Guarantees for Autonomy in Cognitive Agent Architecture", <u>Proceedings of ECAI-94 Workshop on Agent Theories, Architectures, and Languages</u> , Amsterdam, The Netherlands, August 8-9, 1994, pp. 56-70.
	E.T	Devindra Weerasooriya et al., "Design of a Concurrent Agent-Oriented Language", <u>Proceedings of ECAI-94 Workshop on Agent Theories, Architectures, and Languages</u> , Amsterdam, The Netherlands, August 8-9, 1994, pp. 386-401.

EXAMINER <i>F.B.</i>	DATE CONSIDERED <i>4/10/92</i>
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	F.P						
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OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

F.B	F.R	Agostino Poggi, "OAISY: an Object-Oriented System for Distributed Artificial Intelligence", <u>Proceedings of ECAI-94 Workshop on Agent Theories, Architectures, and Languages</u> , Amsterdam, The Netherlands, August 8-9, 1994, pp. 341-354.
	F.S	David Kinny et al., "Planned Team Activity", <u>4th European Workshop on Modelling Autonomous Agents in a Multi-Agent World</u> , MAAMAW '92, S. Martino al Cimino, Italy, July 29-31, 1992, pp. 227-256.
	F.T	Stephen Marsh, "Trust in Distributed Artificial Intelligence", <u>4th European Workshop on Modelling Autonomous Agents in a Multi-Agent World</u> , MAAMAW '92, S. Martino al Cimino, Italy, July 29-31, 1992, pp. 94-112.

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OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)							
<i>F.B</i>	G.R	Beerud Sheth et al., "Evolving Agents For Personalized Information Filtering", <u>Proceedings of the Ninth Conference on Artificial Intelligence for Applications</u> , Orlando, Florida, March 1-5, 1993, pp. 345-352.					
	G.S	Tremaine A.O. Cornish et al., "What Has Mill to Say about Data Mining", <u>Proceedings of The 11th Conference on Artificial Intelligence for Applications</u> , Los Angeles, California, February 20-23, 1995, pp. 347-353.					
	G.T	Siegfried Bocionek, "Software Secretaries: Learning and Negotiating Personal Assistants for the Daily Office Work", <u>Proceedings of IEEE Int'l. Conf. on Systems, Man and Cybernetics</u> , San Antonio, Texas, Oct. 2-5, 1994, Vol. 1, pp. 7-12.					
EXAMINER				DATE CONSIDERED			
<i>Firmin Barker</i>				<i>4/20/02</i>			

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OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)							
<i>F-15</i>	H.R	Enrique D. Espinosa, "Intelligent Classroom Information Agent Multimedie Lab & Visual Guides for Datastructures II", <u>Proceedings of the Int'l. Conf. on Multimedia Computing and Systems</u> , Washington, D.C., May 15-18, 1995, pp. 302-305.					
	H.S	Rolf Pfeifer et al., "Distributed Adaptive Control: A Paradigm for Designing Autonomous Agents", Toward a Practice of Autonomous Systems, <u>Proceedings of the First European Conf. on Artificial Life</u> , Paris, France, Dec. 1991, pp. 21-30.					
	H.T	Alison Cawsey et al., "A Comparison of Architectures for Autonomous Multi-Agent Communication", <u>Proceedings of the 10th European Conference on Artificial Intelligence</u> , Vienna, Austria, August 3-7, 1992, pp. 249-251.					
EXAMINER <i>Fernand BACKEL</i>				DATE CONSIDERED <i>4/10/02</i>			
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OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

<i>F-S</i>	I.R	Paul Kearney et al., "Emergent Behaviour in a Multi-Agent Economic Situation", <u>Proceedings of the 11th European Conference on Artificial Intelligence</u> , Amsterdam, The Netherlands, August 8-12, 1994, pp. 284-288.
<i>J</i>	I.S	Wayne Wobcke, "Reasoning about Action from the Perspective of Situation Semantics, <u>Proceedings of the 6th Australian Joint Conference on Artificial Intelligence</u> , Melbourne, Australia, November 16-19, 1993, pp. 71-76.
<i>J</i>	I.T	Gunilla A. Sundstrom et al., "Cooperative Human-Computer Decision Making: An Experiment and Some Design Implications", <u>Proceedings of the Human Factors and Ergonomics Society 38th Annual Meeting</u> , Nashville, Tennessee, October 24-28, 1994, pp. 220-224.

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Funmi Bush

DATE CONSIDERED

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	J.L							
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	J.N							
	J.O							
	J.P							
	J.Q							
OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)								
F.B	J.R	T. Moody, "AT&T Personalink (SM) - A Public Network for Smart Agent Pics", <u>IEE Colloquium on Roaming with Data</u> , London, UK, March 6, 1995, Digest No. 1995-046.						
	J.S	Lech Polkowski et al., "Introducing Rough Mereological Controllers: Rough Quality Control", <u>Proceedings of RSSC '94</u> 3rd Int'l. Workshop on Rough Sets and Soft Computing, San Jose, California, Nov. 10-12, 1994.						
	J.T	Terence J. Parr et al., "A Language for Creating and Manipulating VRML", <u>Symposium on the VRML '95</u> , San Jose, California, December 14-15, 1995, pp. 123-131.						
EXAMINER <i>F.B</i>				DATE CONSIDERED <i>4/10/02</i>				
EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.								

SUBSTITUTE FORM PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE			ATTY. DOCKET NO. IBM/02B (R0997-054L)		SERIAL NO. FILED HEREWITH	
		INFORMATION DISCLOSURE STATEMENT BY APPLICANT			APPLICANT Joseph Phillip Bigus et al.			
		(Use several sheets if necessary) (37 CFR 1.98(b))			FILING DATE November 2, 1999		GROUP Unknown	
U.S. PATENT DOCUMENTS								
EXAMINER INITIAL		PATENT NUMBER	ISSUE DATE	PATENTEE		CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	K.A							
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FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS								
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	K.L							
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	K.O							
	K.P							
	K.Q							
OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)								
<i>F-B</i>	K.R	Joseph P. Bigus, <u>Data Mining with Neural Networks</u> , McGraw-Hill Publishing Company, 1996.						
<i>J</i>	K.S	David M. Chess, "Security Considerations in Agent-Based Systems", <u>For the 1st Annual Conference on Emerging Technologies and Applications in Communications</u> , Portland, Oregon, May 7-10, 1996.						
<i>J</i>	K.T	Tuomas Sandholm et al. "Issues in Automated Negotiation and Electronic Commerce: Extending the Contract Net Framework", First International Conference on Multi-Agent Systems, (June 1995), pp. 328-335.						
EXAMINER				DATE CONSIDERED				
<i>F-B.</i>				<i>4/10/02</i>				
EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance <u>and</u> not considered. Include a copy of this form with next communication to applicant.								

SUBSTITUTE FORM PTO-1449 (MODIFIED)				U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. IBM/O2B (R0997-054L)		SERIAL NO. FILED HEREWITH	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary) (37 CFR 1.98(b))						APPLICANT Joseph Phillip Bigus et al.			
						FILING DATE November 2, 1999		GROUP Unknown	
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EXAMINER INITIAL		PATENT NUMBER		ISSUE DATE	PATENTEE		CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
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OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)									
<i>F.B.</i>	L.R	Ted Selker, "Coach: A Teaching Agent that Learns", <u>Communications of the Association for Computing Machinery</u> , Vol. 37, No. 7, (July 1996), pp. 92-99.							
<i>F.B.</i>	L.S	Gregory E. Kersten et al., "Negotiation in Distributed Artificial Intelligence: Drawing from Human Experience", <u>Proceedings of the Twenty-Seventh Annual Hawaii International Conference on System Sciences</u> , (1994), pp. 258-270.							
<i>F.B.</i>	L.T	Jim R. Oliver, "On Artificial Agents for Negotiation in Electronic Commerce", <u>Proceedings of the 29th Annual Hawaii International Conference on System Sciences</u> , (1996), pp. 337-346.							
EXAMINER					DATE CONSIDERED				
<i>F.B.</i>					<i>4/10/02</i>				
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		INFORMATION DISCLOSURE STATEMENT BY APPLICANT			APPLICANT Joseph Phillip Bigus et al.		
(37 CFR 1.98(b))		(Use several sheets if necessary)			FILING DATE November 2, 1999	GROUP Unknown	
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OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)							
F.B	M.R	Edward A. Billard, "Effects of Group Size on Goad-Directed Agents in Distributed Environments", IEEE Publication No. 0-2803-2559-1/95 (1995), pp. 3403-3408.					
	M.S	Database 636 (IAC Newsletter) on Dialog, No. 3263922, "General Magic attempts to pull Glory from Web Hat", Network Briefing, (July 19, 1996), 2 pages.					
	M.T	Database 148 (IAC Trade & Industry Database), No. 4056305, Katy Ring, "Neural Networks, knowledge systems, genetic algorithms at Cambridge Consultants", Computergram International, (July 17, 1989), 3 pages.					
EXAMINER				DATE CONSIDERED			
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EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.							

SUBSTITUTE FORM PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. IBM/02B (R0996-054L)	SERIAL NO. 09/431,B33
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT (37 CFR 1.9B(b))		(Use several sheets if necessary)		APPLICANT Joseph Phillip Bigus et al.	
				FILING DATE November 2, 1999	GROUP Unknown

EXAMINER INITIAL	U.S. PATENT DOCUMENTS							RECEIVED				
	PATENT TYPE	1	2	3	4	5	6	7	CLASS	SUBCLASS	FILING DATE NOV 2 1999 IF APPROPRIATE	
F.M	A.T	7	6	4	3	2	7	7/1/97	Atkins	395	240 Group 2700	12/6/94
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FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION (YES/NO)
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OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

F.D	A.R	Koza, John R., <u>Genetic Programming: On the Programming of Computers By Means of Natural Selection</u> , The MIT Press, 1992.
	A.S	Maes, Pattie, <u>Software Agents</u> , MIT Media Lab Slides 1, 3, 5-9, 13, 15-16, 18, 20, 22-26, 35-37, 42, 47-52, 54-56, 58-67, 71, 77, 80-82, 86, 101-102, 133, 136, and 144, presented in Chicago, 1997, displayed at http://pattie.www.media.mit.edu/people/pattie/CHI97 , downloaded 9/21/99.
	A.T	Giorgios, Zacharia and Maes, Pattie, <u>MIT Media Lab: Software Agents Group: Projects</u> , Website: http://agents.www.media.mit.edu/groups/agents/projects/ , 1997 downloaded 9/21/99, 5 pages.

EXAMINER	DATE CONSIDERED
F.B	4/10/02

EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.

SUBSTITUTE FORM PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. IBM/02B (R0996-054L)	SERIAL NO. 09/431,833
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary) (37 CFR 1.9B(b))				APPLICANT Joseph Phillip Bigus et al.	
				FILING DATE November 2, 1999	GROUP Unknown

U.S. PATENT DOCUMENTS							
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FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS							
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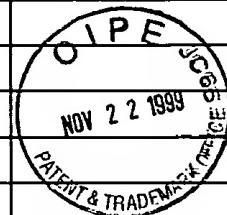
OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)							
EXAMINER	DOCUMENT NUMBER	DATE CONSIDERED					
F.B	B.R	Chavez, A. and Maes, P., "Kasbah: An Agent Marketplace for Buying and Selling Goods", <u>Proceedings of the First International Conference on the Practical Application of Intelligent Agents and Multi-Agent Technology</u> , Blackpool, U.K.: Practical Application Company, (April 1996), pp. 75-90					
	B.S						
	B.T						

EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.

SUBSTITUTE FORM PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. IBM/02B (R0997-054L)	SERIAL NO. 09/431,833
SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary) (37 CFR 1.9B(b))		APPLICANT Joseph Phillip Bigus et al.		
		FILING DATE November 2, 1999	GROUP Unknown	

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
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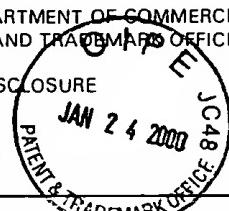
FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

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A.P							
A.Q							

OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

F.B	A.R	Bruce Schneier, <u>Applied Cryptography, Second Edition: Protocols, Algorithms, and Source Code in C</u> , John Wiley & Sons, Inc. (1996), pp. v-xiv and 1-10.
	A.S	
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EXAMINER	DATE CONSIDERED	
F.B.	4/10/02	

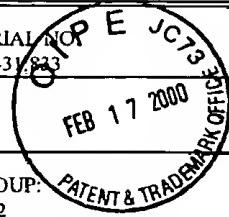
EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.

SUBSTITUTE FORM PTO-1449 (MODIFIED)			U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARKS OFFICE			ATTY. DOCKET NO. IBM/D2B (R0996-D54L)	SERIAL NO. D9/431,833
THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT						APPLICANT Joseph Phillip Bigus et al.	
(Use several sheets if necessary) (37 CFR 1.98(b))						FILING DATE November 2, 1999	GROUP 2762
U.S. PATENT DOCUMENTS							
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FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS							
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	A.N						
	A.O						
	A.P						
	A.Q						
OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)							
F-B	A.R	Kahn, David, <u>The Codebreakers: The Story of Secret Writing</u> , New York: Scribner, (1996), pp. 224-229.					
	A.S						
	A.T						
EXAMINER <i>F-B</i>				DATE CONSIDERED <i>4/10/02</i>			
EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.							

FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION
DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.
RO996-054LBSERIAL NO.
09/431,823APPLICANT:
Joseph P. Bigus et al.FILING DATE:
November 2, 1999GROUP:
2762

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE (IF APPRO.)
BA						
BB						<u>RECEIVED</u>
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FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
						YES
BL						
BM						
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OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

F.D	BR	H. Nwana et al., "An Introduction to Agent Technology," BT Technology Journal, Vol. 14, No. 4, pp. 55-67,
		October 1996.
	BS	A. Rasmusson et al., "Personal Security Assistance for Secure Internet Commerce," New Security Paradigm '96 Workshop,
		On-Line, pp. 1-12, September 16, 1996.
	BT	W. Farmer et al., "Security for Mobile Agents: Issues and Requirements," Proceedings of the 19th National Information
		Systems Security Conference, On-Line, pp. 1-7, 1996.

EXAMINER

F.D

DATE CONSIDERED

4/11/02

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S
INFORMATION
DISCLOSURE STATEMENT
(Use several sheets if necessary)

ATTY. DOCKET NO.
RO996-054LBSERIAL NO.
09/431,833APPLICANT:
Joseph P. Bigus et al.FILING DATE:
November 2, 1999GROUP:
2762

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

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						YES	NO
CL							
CM							
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CO							
CP							

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

FIB	CR	F. Hohl, "An Approach to Solve the Problem of Malicious Hosts in Mobile Agent Systems," Universitat Stuttgart, Fakultat Informatik, Bericht Nr. 1997/03, On-Line, pp. 1-13, March 1, 1997.
CS		
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EXAMINER

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DATE CONSIDERED

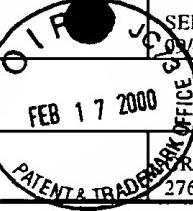
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION
DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.
RO996-054LBSERIAL NO.
09/431,833APPLICANT:
Joseph P. Bigus et al.FILING DATE:
November 2, 1999GROUP:
2762

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

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AL							
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OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

F.P	AR	D. Johansen et al., "Operating System Support for Mobile Agents," Workshop on Hot Topics in Operating Systems, pp. 42-45, 1995.
		A. Mensch et al., "REAKT: Real-time Architecture for Time-critical Knowledge-based Systems," Intelligent Systems Engineering, pp. 143-167, Autumn 1994.
	AS	A. Reinhardt, "The Network with Smarts," 4465 Byte, McGraw-Hill, Inc., Peterborough, NH, US, Vol. 19, No. 10, pp. 51-64, October 1994.
	AT	A. Reinhardt, "The Network with Smarts," 4465 Byte, McGraw-Hill, Inc., Peterborough, NH, US, Vol. 19, No. 10, pp. 51-64, October 1994.

EXAMINER

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DATE CONSIDERED

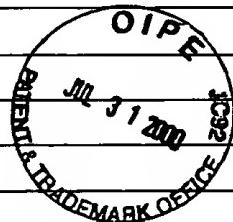
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

SUBSTITUTE FORM PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. IBM/O2B (R0996-054L)	SERIAL NO. 09/431,833
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary) (37 CFR 1.98(b))		APPLICANT Joseph Phillip Bigus et al.		
		FILING DATE November 2, 1999	GROUP 2762	

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
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FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

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F.M	A.R	Mitchell, Melanie, "Chapter 3: Genetic Algorithms in Scientific Models", <u>An Introduction to Genetic Algorithms</u> , The MIT Press, Cambridge, MA, (1996), pp. 85-108.
	A.S	
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EXAMINER F.b	DATE CONSIDERED A/10/02
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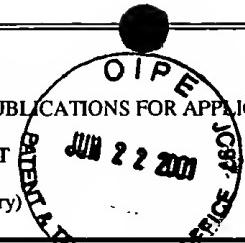
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<p>SUBSTITUTE FORM PTO 1449 (MDDIFIED)</p> <p>FEB 13 2001</p> <p>U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE</p> <p>SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> <p>(Use several sheets if necessary) (37 CFR 1.9B(b))</p>					ATTY. DOCKET NO. IBM/02B (R0996-D54L)	SERIAL NO. 09/431,B33	
					APPLICANT Joseph Phillip Bigus et al.	CONFIRMATION NO. GROUP 2100	
					FILING DATE November 2, 1999	GROUP 2100	
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	A.P						
	A.Q						
OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)							
F.B	A.R	Müller, Jürgen, <u>Defining Rational Agents by Using Hierarchical Structured Knowledge Bases</u> , IEEE Colloquium on Intelligent Agents, (1991), pp. 8/1-8/3.					
	A.S	Zhang, Tianning et al., <u>Intelligent Agents in Network and Service Management</u> , IEEE Global Telecommunication Conference, (Nov. 1996), pp. 1855-1861.					
	A.T	Murray, John et al., <u>Modeling a Distributed Human-Machine System using Knowledge Engineering Techniques</u> , IEEE Proceedings of Third Annual Symposium on Human Interaction with Complex Systems, (Aug. 1996), pp. 235-242.					
EXAMINER <i>F.B</i>				DATE CONSIDERED <i>4/10/02</i>			
EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance <u>and</u> not considered. Include a copy of this form with next communication to applicant.							

FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION
DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.
RO996-054LBSERIAL NO.
09/431,833APPLICANT:
Joseph P. Bigus et al.FILING DATE:
November 2, 1999GROUP:
2762

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

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	AL							
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OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

F.B	AR	Tetsuya Uchiki, "Price Forming Simulation in Electrical Market", Information Processing Society Memoir,
		Vol. 95, No. 105 (95-AI-102), pp. 1-6, Faculty of Business Administration, Toyo University
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DATE CONSIDERED

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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.